|  |
| --- |
| **Research Terms of Reference****Consultation of people affected by the multidimensional crisis in Sri Lanka (AAP)****LK2201**Sri Lanka |
| **December 2022****Version 1** | **C:\Users\Megan\AppData\Local\Microsoft\Windows\INetCache\Content.Word\REACH logo white (for a coloured background).jpg** |

# Executive Summary

|  |  |
| --- | --- |
| **Country of intervention** | Sri Lanka |
| **Type of Emergency** | □ | Natural disaster | □ | Conflict | X | Economic |
| **Type of Crisis** | X | Sudden onset  | □ | Slow onset | □ | Protracted |
| **Mandating Body/ Agency** | *FCDO* |
| **IMPACT Project Code** | *08AXO* |
| **Overall Research Timeframe** *(from research design to final outputs / M&E)* | 24/10/2022 to 31/05/2023 |
| **Research Timeframe***Add planned deadlines (for first cycle if more than 1)* | 1. Pilot/ training: 15/02/2023 | 6. Preliminary presentation: 28/04/2023 |
| 2. Start collect data: 25/02/2023 | 7. Outputs sent for validation: 03/05/2023 |
| 3. Data collected: 31/03/2023 | 8. Outputs published: 30/05/2023 |
| 4. Data analysed: 25/04/2023 | 9. Final presentation: 18/05/2023 |
| 5. Data sent for validation: 27/04/2023 |
| **Number of assessments** | X | Single assessment (one cycle) |
| □ | Multi assessment (more than one cycle) *[Describe here the frequency of the cycle]*  |
| **Humanitarian milestones***Specify* ***what*** *will the assessment inform and* ***when*** *e.g. The shelter cluster will use this data to draft its Revised Flash Appeal;* | **Milestone** | **Deadline** |
| X | Donor plan/strategy  | No specific date  |
| X | Inter-sector plan/strategy post Humanitarian Needs and Priorities Plan (HNP) | 31/03/2022  |
| □ | Cluster plan/strategy  | \_ \_/\_ \_/\_ \_ \_ \_ |
| X | NGO platform plan/strategy post HNP | No specific date |
| □ | Other (Specify): Development Partner’s Forum  | No specific date |
| **Audience Type & Dissemination** *Specify* ***who*** *will the assessment inform and* ***how*** *you will disseminate to inform the audience* | **Audience type** | **Dissemination** |
| X StrategicX ProgrammaticX Operational□ [Other, Specify] | X General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors)□ Cluster Mailing (Education, Shelter and WASH) and presentation of findings at next cluster meeting X Presentation of findings (e.g. at HCT meeting; Cluster meeting) X Website Dissemination (Relief Web & REACH Resource Centre)X Joint analysis session with stakeholders, including AAP working group, development partners, representatives of local organizations including women-led groups, organizations of persons with disabilities, etc. |
| **Detailed dissemination plan**  | □ | Yes | X | No |
| **General Objective** | To understand affected people and local actor's preferences, priorities and needs in Sri Lanka in order to support a better alignment of humanitarian, resilience and recovery strategic planning and programming. |
| **Specific Objective(s)** | - To understand how affected people and local actors perceive the ongoing crisis and its impact on households, as well as the community level capabilities and resources that should be leveraged to respond- To identify affected people and local actors preferences and priorities when it comes to the type and modality of assistance that should be provided in their area, if any. - To understand how people affected by the crisis perceive the ongoing response by humanitarian/resilience & recovery actors and what recommendation they have for improvements. |
| **Research Questions** | **1. How do affected people and local actors perceive the ongoing crisis and its impact on households, as well as the community level capabilities and resources that should be leveraged to respond?*** 1.1 What are the **most pressing needs** facing Sri Lankan households?
* **1.2**. Which **categories of households and geographical areas** have been the most impacted by the economic crisis?
* **1.3.** How is this community responding to these needs and what existing capabilities are available at the local level to respond?

**2. What are affected people and local actors’ preferences and priorities when it comes to the type and modality of assistance that should be provided in their area, if any?*** **2.1** What do people affected by the crisis consider that humanitarian / resilience & recovery actors should **prioritize in terms of programming**?
* **2.2.** What do people affected by the crisis prefer in terms of **assistance modality** and for what reasons?

**3. How do people affected by the crisis perceive the ongoing response by humanitarian / resilience & recovery actors and what recommendations to they have for improvements?*** **3.1** How do affected people and local actors perceive the ongoing response in terms of the relevance and appropriateness of programming as well as targeting approaches
* **3.2.** How do affected people and local actors perceive the ongoing response in terms of their ability to engage with response actors and participate in decision making?
 |
| **Geographic Coverage** | Urban center and immediate rural periphery of Colombo, Nuwara Eliya, Batticaloa, Kilinochchi. |
| **Secondary data sources** | United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), Humanitarian Needs and Priorities Plan, June-December 2022.World Food Programme (WFP). Food Security Monitoring. September 2022.United Nations (UN). Sustainable Development Framework. 2023-2027. Overseas Development Institute (ODI). Caught between two stools: humanitarian aid in the Sri Lanka response. September 2022.World Food Programme. Market Functionnality Index. September 2022.International Federation of the Red Cross (IFRC). Sri Lanka Complex Emergency. Needs Assessment Report. October 2022.Department of Census & Statistics of Sri Lanka. Multiple resources.World Bank. Sri Lanka Development Update. Protecting the Poor and the Vulnerable in a Time of Crisis. October 2022.ACTED, CEPA, World Vision. Rapid Food Security Assessment. July 2022.UNOCHA. HNP Plan Consultations with Local Actors. September - October 2022.Sarvodaya. [A Public Statement on the ongoing crisis in Sri Lanka – Sarvodaya](https://www.sarvodaya.org/2022/07/14/a-public-statement-on-the-ongoing-crisis-in-sri-lanka). July 2022.The New Humanitarian. [Out of Sri Lanka’s Tumult, a Humanitarian Crisis Emerges](https://www.thenewhumanitarian.org/news/2022/07/27/Sri-Lanka-crisis-food-aid-humanitarian-emergency). July 2022. |
| **Population(s)** | □ | IDPs in camp | □ | IDPs in informal sites |
| *Select all that apply* | □ | IDPs in host communities | □ | IDPs [Other, Specify] |
|  | □ | Refugees in camp | □ | Refugees in informal sites |
|  | □ | Refugees in host communities | □ | Refugees [Other, Specify] |
|  | X | Host communities | X | Persons with disabilities, female-headed households, youth, estates worker, fishing communities, small scale farmers. |
| **Stratification***Select type(s) and enter number of strata* | X | Geographical #:4 Population size per strata is known? □ Yes □ No | X | Group #: 5Population size per strata is known? □ Yes X No | □ | *[Other Specify]* #: \_ \_ Population size per strata is known? □ Yes □ No |
| **Data collection tool(s)**  | X | Structured (Quantitative) | X | Semi-structured (Qualitative) |
|  | **Sampling method** | **Data collection method**  |
| **Structured data collection tool # 1** | □ PurposiveX Probability / Simple random□ Probability / Stratified simple random□ Probability / Cluster sampling□ Probability / Stratified cluster sampling□ [Other, Specify] | □ Key informant interview (Target #): \_ \_ \_□ Group discussion (Target #):\_ \_ \_ \_ \_X Household interview (Target #): 420□ Individual interview (Target #):\_ \_ \_ \_ \_□ Direct observations (Target #):\_ \_ \_ \_ \_□ [Other, Specify](Target #):\_ \_ \_ \_ \_ |
| **Semi-structured data collection tool (s) # 1** | X Purposive□ Snowballing□ [Other, Specify] | □ Key informant interview (Target #): \_ \_ \_ \_ \_X Individual interview (Target #): 140□ Focus group discussion (Target #):\_ \_ \_ \_ \_□ [Other, Specify](Target #):\_ \_ \_ \_ \_ |
| **Semi-structured data collection tool (s) # 2** | X Purposive□ Snowballing□ [Other, Specify] | □ Key informant interview (Target #): \_ \_ \_ \_ \_X Individual interview (Target #): 40□ Focus group discussion (Target #):\_ \_ \_ \_ \_□ [Other, Specify](Target #):\_ \_ \_ \_ \_ |
| **Target level of precision if probability sampling** | 95% confience level | 10% margin of error |
| **Data management platform(s)** | X | IMPACT | □ | UNHCR |
|  | □ | [Other, Specify] |
| **Expected ouput type(s)** | □ | Situation overview #: \_ \_ | □ | Report #: 1 (Key Findings report) | □ | Profile #: \_ \_ |
|  | □ | Presentation (Preliminary findings) #: \_ \_ | X | Presentation (Final) #: 1 | X | Factsheet #: \_\_ |
|  | □ | Interactive dashboard #:\_ | □ | Webmap #: \_ \_ | □ | Map #: \_ \_ |
|  | □ | Saturation grids #: 1 |
| **Access**  | X | Public (available on REACH resource center and other humanitarian platforms)  |
| □ | Restricted  |
| **Visibility** *Specify which* ***logos*** *should be on outputs* | ***REACH*** |
| ***Donor:*** *FCDO* |
| ***Coordination Framework:*** *OCHA AAP Working Goup* |
| ***Partners:*** *N/A* |

# Rationale

* 1. Background

Since the first half of 2022, Sri Lanka has been facing a multidimensional crisis that has severely impacted the daily lives of a majority of the country’s nearly 22 million inhabitants. The crisis has been characterized by political instability and rampant inflation and severely disrupted economic activity. Millions of people have become food insecure as a result of soaring food prices and reduced harvests, and daily life has been made more difficult by severe shortages of essential items, including basic medicines, commodities and fuel.

In June 2022, the United Nations in Sri Lanka, with the support from the Office for the Coordination of Humanitarian Affairs (UNOCHA) launched a *Humanitarian Needs and Priorities Plan* (HNP) to appeal for funding to respond to the emergency needs of 1.7 million people, with a planned response centered around food security, livelihoods, nutrition, health and protection[[1]](#footnote-1). The number of people in need of assistance a number which was subsequently revised to 7 million, with an aim to assist 3.4 million people, and extended until December 2022. The plan was put together in haste in the midst of a fast-evolving economic crisis, and its first iteration was informed by limited inputs from people affected by the crisis.

More than six months into the emergency response, more evidence is needed on how the interventions of humanitarian, resilience and recovery actors have been perceived so far by those who were meant to be reached by these interventions. Moreover, future planning would benefit from being better aligned with affected people own’s self-reported needs, priorities and preferences in terms of type of interventions and modalities of response. To contribute to this goal, REACH set out to undertake a broad consultation of affected people and local actors across four locations in Sri Lanka.

* 1. Intended impact

This research aims to inform the overall strategy of donors, including FCDO, humanitarian actors and coordination, via OCHA, as well as resilience, recovery and development actors that operate in Sri Lanka at a critical juncture in the country’s history. With the Humanitarian Needs and Priorities Plan coming to an end in December, there is a level of uncertainty surrounding how the response to emergency needs will be organized and coordinated in the months to come, yet recent assessments suggest that large numbers of people continue to face acute need, and these will likely be compounded by the forecasted partial failure of the Maha agricultural season.

Regardless of the coordination structures that will be in place, and of the extent to which the response in Sri Lanka continues to incorporate emergency components, all response actors will benefit from taking the views and perceptions of affected people into account into future planning. Following the release of the findings of this research, REACH will convene a Joint Analysis Workshop with key actors of the humanitarian and development communities to draw present takeaways, identify recommendations, and define tangible course corrections to the strategic, programmatic and operational orientations of the response in order to better align those with the priorities and preferences of the people that it serves.

# Methodology

3.1 Methodology overview

Data for this assessment will be collected through a mixed methods approach, but with a primarily qualitative focus, in four selected locations in Sri Lanka. The case study locations will be selected with regard to the level of severity of needs identified through various assessments conducted so far (IFRC, WFP, ACTED / World Vision / CEPA, etc.)[[2]](#footnote-2), the level of assistance provided by. The research will include a quantitative household survey. Data collection will take place concurrently according to the plan in Table 1 below.

Table 1: Data collection type and methodology

|  |  |
| --- | --- |
| **Data collection type** | **Methodology** |
| Quantitative HH surveys | **Total**: Approximately 500 HH surveys across four locations (see next section)**Data collection**: 25 February to 5 March 2023 Data will be collected using the Kobo application on smartphones. Enumerators will conduct in person interviews with heads of households using a quantitative survey.**Sampling**: HHs will be randomly selected through an automated generation of GPS points, which a team of enumerators will visit, and where they will select a set number of households randomly to conduct the interview. **Theme**: The quantitative survey will cover priorities and preferences of affected people when it comes to humanitarian, resilience and recovery assistance, as well as their perceptions of humanitarian actors. |
| Qualitative KI interviews | **Total**: 180 qualitative key informant interviews across four locations**Data collection**: 20 February to 30 March. Data will be collected using paper forms which enumerators will be trained to take notes on, and recorded on a recording device. Enumerators will conduct interviews one on one, face to face. Enumerators will debrief with a Field Officer at the end of each day. **Sampling**: participants for qualitative KI interviews will be purposively selected by field officers and enumerators by working with KI networks to identify qualifying participants. Participants will be selected based on their identification as a member (formal or informal) in a population group of interest, which are 1) the groups assessed to have been most impacted by the crisis, and 2) local actors. Local actors will be identified through a stakeholder mapping conducted by field officers ahead of the launch of the research.  |

* 1. Population of interest

The assessment will be conducted through a case study approach, with a focus on four locations. The locations have been selected following a Secondary Data Review and consultations with humanitarian stakeholders, and with regards to the following criteria:

*Needs & vulnerabilities*:

* Relatively high number of ‘persons in need’ in the Humanitarian Needs and Priorities Plan;
* Presence of severely impacted livelihoods (fishing communities, small scale farming, estate workers);

*Assistance coverage*:

* Varying degrees of humanitarian assistance coverage since the economic crisis, with selection of locations that have received relatively less, as well as locations that have received relatively more.
* Historical legacy of humanitarian / resilience & recovery assistance during previous crisis episodes in Sri Lanka.

*Other:*

* Geographical distribution of the population of interest.
* Availability of enumerators and pre-existing familiarity with local stakeholders among assessment team.

The below graph shows a tentative mapping of the locations of interest for the assessment, along with the groups and communities of interest that have been pre-selected for these locations (note: these are preliminary and will be refined during stakeholder mapping at field level).[[3]](#footnote-3)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|   | **Colombo** | **Kilinochchi** | **Batticaloa** | **Nuwara Eliya** |
| Persons with disabilities | X | X | X | X |
| Female headed households | X | X | X | X |
| Youth | X | X | X | X |
| Urban poor | X |   |   |   |
| Estates worker |   |   |   | X |
| Small scale agriculture |   | X | X |   |
| Rural poor |   | X | X | X |
| Tourism industry | X |   |   | X |
| Fishing communities |   |   | X |   |
| Daily wage earners | X |   |   |   |
| Pregnant women & multiple children | X | X | X | X |

* 1. Secondary data review

The research design phase of this research included a robust literature review that focused on several types of sources:

*Key planning documents*

Several key documents allow to better understand how the international aid system is structured in Sri Lanka and how it intends to respond to the ongoing crisis, both through humanitarian programming and resilience and recovery focused interventions by development actors. As per the most recent iteration of OCHA’s Humanitarian Needs and Priorities Plan (HNP), the UN estimates that 7 million people are in need of humanitarian assistance in Sri Lanka as of 31st October 2022, and the UN plans to focus its response on responding to immediate health, nutrition, food, livelihoods and water needs, building resilience through livelihoods programming, and addressing cross-cutting protection concerns, including through psycho-social support and education. The UN is requesting 150 million USD in total to fund these interventions, through 22 participating partners, as well as the IFRC and the Sri Lanka Red Cross Society (SLRCS) who are responding through a separate appeal. Meanwhile, the United Nations released a draft of its new Sustainable Development Framework covering the 2023-2027 period. This document makes little mentions of how the ongoing crisis will impact strategic planning in terms of development for the coming years, but outlining a general strategic focus on gender equality, sustainable and green economic development, social cohesion, as well as inclusive and equitable development.

* [OCHA. Humanitarian Needs and Priorities Plan. October 2022.](https://reliefweb.int/report/sri-lanka/sri-lanka-food-security-crisis-humanitarian-needs-and-priorities-2022-june-sept-2022-ensita)
* [UN. Sustainable Development Framework. 2023-2027.](https://srilanka.un.org/en/210414-united-nations-sustainable-development-cooperation-framework)

*Recent needs assessments, consultations and analysis*

Several needs assessments have been undertaken by aid actors in Sri Lanka since the beginning of the economic crisis. Most of these assessments had an exclusive food security and livelihoods focus. IFRC also produced a thorough assessment that was multisectoral in focus, statistically representative and crisis-wide in coverage. These assessments all point toward a sudden increase in the number of acutely food insecure persons since the rapid rise in living costs, reaching up to 30% of the population. The assessments also indicated that the overwhelming majority of households had been affected at least to some degrees in their ability to afford basic commodities, and pushed to rely on a wide array of coping strategies to absorb shocks. In terms of identifying the root causes of the ongoing crisis, the World Bank highlights the compounded impact of terrorism (2019) and subsequently COVID-19 on the country’s tourism industry, untimely fiscal policies and structural issues in the country’s social protection system.

* [ACTED, CEPA, World Vision. Rapid Food Security Assessment. July 2022.](https://reliefweb.int/report/sri-lanka/rapid-food-security-assessment-july-2022)
* [WFP. Food Security Monitoring. September 2022](https://www.wfp.org/publications/sri-lanka-remote-household-food-security-surveys).
* [WFP. Market Functionnality Index. September 2022](https://reliefweb.int/report/sri-lanka/market-functionality-index-sri-lanka-economic-crisis-2022-assessing-functionality-selected-markets-cash-based-assistance#:~:text=Spikes%20and%20instability%20in%20prices,of%20their%20income%20on%20food.).
* [International Federation of the Red Cross (IFRC). Sri Lanka Complex Emergency. Needs Assessment Report. October 2022](https://reliefweb.int/report/sri-lanka/sri-lanka-complex-emergency-needs-assessment-report-october-2022).
* [World Bank. Protecting the poor in a time of crisis](https://reliefweb.int/report/sri-lanka/sri-lanka-development-update-protecting-poor-and-vulnerable-time-crisis).
* OCHA. Local actors consultations. August 2022.
* [Global Voices. Sri Lanka: ‘We want the power of equality, justice and love – not love for power’: The economic crisis is weighing heavily on Sri Lankan women. June 3 2022](https://globalvoices.org/2022/06/03/sri-lanka-we-want-the-power-of-equality-justice-and-love-not-love-for-power/).

*Literature on legacies from previous humanitarian responses*

Conducting an assessment on community perceptions of humanitarian assistance requires a strong grasp of humanitarian interventions that have come before, as well as development and resilience or recovery interventions that have taken place in between and concurrently. Sri Lanka’s history since independence has been punctuated with man-made and natural catastrophes. The major events include the Janatha Vimukthi Peramuna (JVP) insurgency in the south of the country in the 1980s, followed by the Liberation Tigers of Tamil Eelam (LTTE) insurgency and the subsequent outbreak of the Sri Lankan civil war, predominantly in the North East, which spanned nearly three decades (1983-2009). In the midst of the civil war, Sri Lanka was one of the countries hardest hit by the 2004 Indian ocean tsunami. All of these shocks triggered an international response, including from western and non-western donors, UN Agencies and NGOs. The tense political context of the civil war period and complex dilemmas regarding access and neutrality have led to at times fraught relations between the government, non-stated armed actors and western aid actors. Moreover, the sudden influx of resources associated with scale ups of the international aid system, especially in the context of the tsunami response, has reportedly contributed to weakening local civil society and community solidarity networks. Through various perception surveys conducted over the years, affected people have repeatedly pointed out a mismatch between needs and assistance and a perception of being consulted without having agency, among other things.

* [Demusz, Kerry. (2000) Listening to the Displaced: Action research in the conflict zones of Sri Lanka. Oxfam GB.](https://policy-practice.oxfam.org/resources/listening-to-the-displaced-action-research-in-the-conflict-zones-of-sri-lanka-121173/)
* Feinstein International Center. Humanitarianism in Sri Lanka: Lessons Learned?, 2010.
* [Tsunami Evaluation Coalition. Impact of the tsunami response on local and national capacities. 2006.](https://www.alnap.org/help-library/impact-of-the-tsunami-response-on-local-and-national-capacities-sri-lanka-country)
* [Lee, A.C.K. (2008) Local perspectives on humanitarian aid in Sri Lanka after the tsunami. Public Health, 122 (12). pp. 1410-1417](https://core.ac.uk/reader/50180)
* [Thomas, A. and Ramalingam, V. (2005) Lessons from the Tsunami: Survey of Affected Families in India and Sri Lanka. Fritz Institute](https://www.alnap.org/help-library/survey-of-affected-families-organisations-in-india-and-sri-lanka).
	1. Primary Data Collection

Primary data collection will take place through household (HH) quantitative surveys and Key Informant (KI) qualitative interviews. All data will be collected by approximately 40 enumerators who have been hired specifically for the purpose of collecting data for this survey. Data collection is planned to take place over a period of approximately one month and a half, from mid-January to end of February.

Qualitative interviews will be conducted by a team of enumerators with community members and local actors following a community-level stakeholder mapping led by the district-level field officers in Nuwara Eliya, Colombo, Batticaloa and Kilinochchi. This stakeholder mapping will be rolled out through secondary data review and interviews with key municipal and district-level authorities and community leaders, and will aim to identify key interlocutors among 1) representatives of affected people, including groups reported to face specific vulnerabilities as a result of the ongoing crisis 2) civil society and local government representatives. Two separate qualitative tools will be generated, one for affected people and the other one for local actors. KI qualitative surveys will be conducted face-to-face and will be individual.

Quantitative data collection will take place through a standardized data collection questionnaire that will be administered to randomly selected households in the districts of interest (Colombo, Kilinochchi, Batticaloa and Nuwara Eliya). Random selection of data collection points will ensure a broad geographical coverage for the assessment.

*Number of interviews to be conducted per category of respondent[[4]](#footnote-4)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|   | **Colombo** | **Kilinochchi** | **Batticaloa** | **Nuwara Eliya** |
| Qualitative interviews with affected people or representatives (Semi-structured tool #1) |
| Persons with disabilities | 5 | 5 | 5 | 5 |
| Female headed households | 5 | 5 | 5 | 5 |
| Youth | 5 | 5 | 5 | 5 |
| Urban poor | 5 |   |   |   |
| Estates worker |   |   |   | 5 |
| Small scale agriculture |   | 5 | 5 |   |
| Rural poor |   | 5 | 5 | 5 |
| Tourism industry | 5 |   |   | 5 |
| Fishing communities |   |   | 5 |   |
| Daily wage earners | 5 | 5 |   |   |
| Pregnant women & multiple children | 5 | 5 | 5 | 5 |
| Qualitative interviews with local actors (Semi-structured tool #1) |
| Local civil society or NGO actors | 5 | 5 | 5 | 5 |
| Local authorities | 5 | 5 | 5 | 5 |
| Quantitative household survey (Structured tool #2) |
| Randomly selected households | 105 | 105 | 105 | 105 |

*Tools*

**KI quantitative survey:** this tool will be developed by using best practices from AAP-focused household surveys conducted by REACH, and adapted to context through consultations with local actors and other humanitarian stakeholders at country level during research design. The development of this tool will also rely on an existing bank of AAP questions that was developed by REACH and the IASC in 2018. These are questions that are typically used in MSNA assessments, a large scale multisectoral household survey that REACH implements in over 20 humanitarian contexts and that contains an AAP section. This tool will allow for a large sample of quantitative data points that will speak to household’s priorities and preferences when it comes to humanitarian assistance, as well as their perceptions of ongoing assistance.

The quantitative survey will be administered at the district level in the four districts of interests. To ensure that the findings are statistically representative (95/10), the selection of households will be randomized. GPS points will be drawn randomly on a map based on geospatial analysis of population density, after which enumerators will deploy and randomly select a limited number of households for interviews.

**KI qualitative interviews** with affected people and local actors / civil society: These tools (two – one for affected people and one for local actors / civil society) will also be developed by relying on good practices from other REACH missions when conducting qualitative AAP-focused work, but adapted to the context and the information needs mentioned by humanitarian actors and local actors in country during the research design phase. It will allow to gain perspectives from various groups that have reportedly been most affected by the ongoing economic crisis, attaining disaggregation for women heads of households, persons with disabilities, people who are partaking in various livelihoods that have been particularly affected by the crisis including agriculture, fishery, daily work, estate workers and garment workers. It will cover all the research questions that have been defined for this assessment.

* 1. Data Processing & Analysis

*Quantitative*

In line with [IMPACT Data Cleaning Guidelines](https://www.reachresourcecentre.info/wp-content/uploads/2020/03/IMPACT_Memo_Data-Cleaning-Min-Standards-Checklist_28012020-1.pdf), submitted data will be checked manually daily for inconsistencies and outliers by an Assessment Officer to ensure data quality and to send follow-ups to field officers and enumerators where needed. Once all data is cleaned, the raw and cleaned dataset and the change log will be stored according to the Data Management Plan. Results will be calculated in percentages and stratified by District. A results table will be produced highlighting the quantitative findings. ..

*Qualitative*

Qualitative sessions will be voice recorded with the consent of participants in order to facilitate recollection of specific points following the sessions. Note-takers will be provided thorough guidance on best practices for recording the main points of discussion and documenting agreement and disagreement and will make detailed notes throughout each session.

Immediately following each session, REACH teams will debrief with the relevant Field Officer to review the key points of the session and ensure all necessary information was obtained, referring to audio recordings as necessary. With the assistance of the Field Manager/Officer and translators, the team will then translate notes from Sinhala or Tamil into English and send an anonymised digitalised copy to the Assessment Officers using a word document, referred to as the English “Summary Document” designed for this purpose.

Assessment officers will carry out thematic coding and analysis using Grounded Theory in order to produce summaries of key findings for each population group. In order to do so, Assessment Officers will track and cross-compare key discussion topics across FGDs within each area using a Data Saturation and Analysis Grid (DSAG) in Excel. English Summary Documents provided by FGD teams will serve as the base documents for analysis, with Assessment Officers consulting FGD teams on preliminary coding schemes for viability and bias checking. The main discussion points identified in the Summary Documents will be added to the grid and organized by topics while tracking the number of times each point is mentioned in each FGD.

# Key ethical considerations and related risks

*\*\*For detailed guidance on how to complete this section, see also Step 5 of the IMPACT Research Design Guidelines\*\**

The proposed research design meets / does not meet the following criteria:

|  |  |  |
| --- | --- | --- |
| ***The proposed research design…***  | ***Yes/ No*** | ***Details if no (including mitigation)*** |
| … Has been coordinated with relevant stakeholders to **avoid unnecessary duplication** of data collection efforts? | Yes |  |
| … **Respects respondents, their rights and dignity** (*specifically by: seeking informed consent, designing length of survey/ discussion while being considerate of participants’ time, ensuring accurate reporting of information provided*)? | Yes |  |
| … Does not **expose data collectors to any risks as a direct result** of participation in data collection? | Yes |  |
| … Does not **expose respondents / their communities to any risks as a direct result** of participation in data collection? | Yes |  |
| … Does not involve **collecting information on specific topics which may be stressful and/ or re-traumatising** for research participants (both respondents and data collectors)? | Yes |  |
| … Does not involve **data collection with minors** i.e. anyone less than 18 years old? | Yes |  |
| … Does not involve **data collection with other vulnerable groups** e.g. persons with disabilities, victims/ survivors of protection incidents, etc.? | No | This assessment is designed to collect information from vulnerable and overlooked groups. We include persons with disabilities, female headed households and youth, among others. REACH will seek advice from the Protection Cluster on facilitating trainings for enumerators on sensitivity and ‘do no harm’ approaches, and will consult organizations of persons with disabilities (OPDs) on appropriate mitigation measures to ensure data collection is accessible to persons with disabilities. |
| … Follows IMPACT SOPs for management of **personally identifiable information**? | Yes |  |

# 5. Roles and responsibilities

Table 3: Description of roles and responsibilities

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Task Description** | **Responsible** | **Accountable** | **Consulted** | **Informed** |
| Research design | *Senior Assessment Officer* | *Country Coordinator* | *HQ AAP Specialist**OCHA AAP Advisor**IMPACT HQ Research Data and Design Unit (RDDU)* | *AAP WG* |
| Supervising data collection | Field ManagerAssessment Officer | Senior Assessment Officer | ACTED FLAT Departments | Country Coordinator |
| Data processing (checking, cleaning) | Assessment Officer | Senior Assessment Officer | Data SpecialistField ManagerIMPACT HQ RDDU | Country Coordinator |
| Data analysis | Senior Assessment Officer | Country Coordinator | Data SpecialistHQ AAP SpecialistIMPACT HQ RDDU | AAP WG |
| Output production | Senior Assessment OfficerAssessment Officer | Country Coordinator | HQ AAP SpecialistIMPACT HQ Research Reporting Unit | AAP WG |
| Dissemination | Senior Assessment Officer | Country Coordinator | HQ AAP SpecialistIMPACT HQ Communications and Advocacy | AAP WG |
| Monitoring & Evaluation | Senior Assessment Officer | Country Coordinator | HQ AAP Specialist | IMPACT HQ |
| Lessons learned | Senior Assessment Officer | Country Coordinator | HQ AAP Specialist | *IMPACT HQ* |

***Responsible:*** *the person(s) who executes the task*

***Accountable:*** *the person who validates the completion of the task and is accountable of the final output or milestone*

***Consulted:*** *the person(s) who must be consulted when the task is implemented*

***Informed:*** *the person(s) who need to be informed when the task is completed*

# Data Analysis Plan

S**tructured survey:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Research questions** | **Indicator group / sector** | **Indicator / Variable** | **Questionnaire Question or Note** | **Instructions** | **Questionnaire Responses** | **Data collection level** |
|  | Introduction | Introduction | Enumerator ID | integer |  | individual level |
| Sex of enumerator | select\_one  | Female/Male | individual level |
| If this is a face-to-face interview, please make sure that you are wearing a mask and respecting social distancing measures. | note |  |  |
|   |   |   | Introduction |   |   |   |
|  | Introduction | Introduction | My name is [[name]]. We are conducting an assessment on behalf of ACTED (REACH Initiative) of households in your community so that humanitarian actors are better informed about needed information and services? Your participation is voluntary, and you can choose not to answer any or all of the questions, the interview will take (40-140 minutes and you can stop the interview at any time. However, we hope that you will participate since your views are important. If you do not participate, it will NOT negatively affect your access to services in any way. Any information that you provide will be confidential and anonymous. This information is being collected across Sri Lanka and will be compiled into a report. Findings will be anonymized when publicly reported to ensure confidentiality. Do you have any questions? Are you willing to be interviewed? | select\_one | Yes/No |  |
| Is the respondent who has consented to be interviewed 18 or over?  | select\_one | Yes/No | individual level |
| If the respondent is not 18 years of age or older, please end the interview.  | note |  |  |
|   |   |   |   |   |   |   |
|   |   |   | Interview |   |   |   |
| NA | Demographics | % of households, per district | In which district is the interview taking place? | select\_one | District list | Household level |
|  | If selected 'other', in which village is the interview taking place? | text |  | Household level |
| % of respondents, per household member status (head of household vs household member) | Are you the head of household?\*NOTE :A household may be a one-person household or a multi person household. • A one-person household is a unit where a person lives by himself and makes separate provision for his food (either cooking the food himself or purchasing). • A multi person household is a group of two or more persons who lives together and has a common arrangement for cooking and partaking food. Boarders and servants who share the meals and housing facilities with other members of the household are also considered as members of that household.[[5]](#footnote-5) | select\_one | Yes/No | individual level |
| If not, are you able to respond on behalf of the household?**NOTE**: If respondent cannot answer on behalf of the household, stop interview. Look for another member in the household, who can respond on behalf of the household, or leave household.  | select\_one | Yes/No | individual level |
| % of respondents, per age  | How old are you?  | select\_one | 18-3031-4950-7071 or more | individual level |
| % of respondents, per gender | What is the gender of the participant? | select\_one | Female/Male/Other (specify) | individual level |
| % of respondents, per caregiver status  | Are you a primary caregiver of any children currently living in the household? | select\_one | Yes/No | individual level |
|   |   |   | Head of Household  |   |   |   |
| NA | Head of Household Demographics | % of households with a female head of household  | Sex of head of household: | select\_one  | Female/Male/Other (specify) | individual level |
| % of households with an elderly head of household | Age of head of household: | integer | integer | individual level |
| % of households with a single head of household AND % of respondents, by marital status | What is the marital status of the Head of Household? | select\_one  | Married/Married, but spouse living elsewhere in Afghanistan/Married, but spouse living in a different country/Single/Divorced/Widowed/I do not want to answer | individual level |
|  | % of respondents, by marital status  | What is your marital status?  | select\_one  | Married/Married, but spouse living elsewhere in Afghanistan/Married, but spouse living in a different country/Single/Divorced/Widowed/I do not want to answer | individual level |
|   |   |   | Events |   |   |   |
| How do affected people and local actors perceive the ongoing crisis and its impact on households, as well as the community level capabilities and resources that should be leveraged to respond? | Major Events w/in Past 12 Months Prior to Data Collection  | Note | Note: This section will ask question about any major event or shock that your household may have experienced in the past six months . | note |  |  |
| % of households impacted by natural disaster, conflict, or COVID-19 in the past six months AND % of households impacted by natural disaster, conflict, or COVID-19 in the past six months, by shock type | Has the household directly experienced an economic shock over the last six months? .**Hint: Economic shock is any unexpected event that has a large-scale, unexpected impact on the economy of the HHs** | select\_one | YesNo | Household level |
|  | If selected yes, did it impact access to any of the following? | select\_multiple  | Taking on of debtLoss of access to foodLoss of housingLoss of agricultural outputLoss of access to electricity sourceLoss of access to administrative servicesLoss of access to health care or medicationLoss of access to educationLoss of access to clean water and sanitationNo impact at allDo not want to answerOther | Household level |
|  |  | Has your household experience any other shocks over the past 6 months? If so, select all that apply. | Select\_multiple | FloodingLandslideDry spell |  |
| Livelihoods | Note | In the following couple of questions we will talk about your household's livelihoods. Please remember none of the personal data will be shared with anyone.  | note |  |  |
| % of  households had at least 1 adult man (18 years or older) working outside of the household in the last 30 days | How many adults men 18+ years worked outside of the household in the last 30 days? | integer | integer | Household level |
| % of  households had at least 1 adult woman (18 years or older) working outside of the household in the last 30 days | How many adults women 18+ years worked outside of the household in the last 6 months | integer | integer | Household level |
|  | (if more than 0 for men/women working), what type of work/employment they were engaged in? | select\_mutiple | AgricultureLivestockSmall businessDaily labour- no contractFormal employment Prefer not to answerOther |  |
|  | (if more than 0 for men/women working) did they have any problem/difficulity during their work? | select\_multiple | transportation difficulity due to lack of fuellack of job security due to economic crisisnot receiving salary/payment on timeprefer not to answerothernone |  |
|   |   |   |   |   |   |
| Livelihoods | Average household income in the last 30 days | Over the past 30 days, what was your household's total cash income from all income sources, in rupees? | integer | integer | Household level |
| % of households, by primary and secondary income in the last 30 days | What was your household's primary sources of income during the last 6 months? | select\_multiple  | AgricultureLivestockRentSmall businessDaily labour- no contractTourismFormal employmentGovernment benefitsHumanitarian assistance Gifts or remittancesBorrowing loans Selling household assets Prefer not to answerOther | Household level |
| % of households reporting decline in household income in the last 30 days | Has your household's monthly income changed in the past 6 months (compared to your usual income in the past)? | select\_one  | No/Yes, higher/Yes, lower | Household level |
| % of households reporting decline in household income in the last 30 days, per reason | If income is lower than usual, what are the main reasons for this? | select\_multiple  | No/Reduced employment opportunitiesLoss of employmentEmployer is unable to pay salaryLack of fuel to perform work tasksReduced remittancesrelated issuesMigration or displacementDeath or illness of family member Prefer not to answerDon’t knowOther | Household level |
| % of households where at least one member of the household has lost their job or experienced a significant decrease in income over the past 6 months | In this household, is there someone who has lost their primary employment over the past 6 months? | select\_one | YesNo |  |
|   |   | Mental health |   |   |   |
| Mental health | Note | In the following questions we would talk about security, safety, and wellbeing concerns.  | note |  |  |
| % of households reporting a behavioural change in the past six months, by age and gender AND % of households reporting a behavioural change, by type of change | Have any female HH members (women or girls) in your household developed any of the following changes in behavior in the past six months? | select\_multiple | Excessive sad mood or cryingBedwettingDecrease in appetite or sleep pattern compared to usual Increase in appetite or sleep pattern compared to usualSignificant social withdrawal Inability to be aloneAngry or aggressive or violent behaviorAvoiding going to work or lack of interest to do activities which were pleasurable before Substance abuseFatigue without doing significant workExcessive worry, no hope for the future, or hyper vigilanceOtherNonePrefer not to answer | Household level |
| What do you believe was the main cause/s of these changes in behaviour? | select\_multiple | Family issuesInterruption of/exclusion from work, school or communityPoverty or financial stress (due to loss of livelihoods, debt)Fear/feeling of insecurity related to protection incidents (i.e. at the individual level)Health problems (injury, disability, chronic illness)Conflict or tensions in the community Losing someone close to themOtherPrefer not to answer | Household level |
| Have any male HH members (men or boys) in your household developed any of the following changes in behavior in the past six months? | select\_multiple | Excessive sad mood or cryingBedwettingDecrease in appetite or sleep pattern compared to usual Increase in appetite or sleep pattern compared to usualSignificant social withdrawal Inability to be aloneAngry or aggressive or violent behaviorAvoiding going to work or lack of interest to do activities which were pleasurable before Substance abuseFatigue without doing significant workExcessive worry, no hope for the future, or hyper vigilanceOtherNonePrefer not to answer | Household level |
| What do you believe was the main cause of these changes in behaviour? | select\_multiple | Family issuesInterruption of/exclusion from work, school or communityPoverty or financial stress (due to loss of livelihoods, debt)Fear/feeling of insecurity related to protection incidents (i.e. at the individual level)Health problems (injury, disability, chronic illness)Conflict or tensions in the community Losing someone close to themOtherPrefer not to answer | Household level |
|   |   |   | Humanitarian Assistance |   |   |   |
|  |  | Note | Note: In the following couple of questions, we will talk about communications and humanitarian assistance in general. Please remember that none of these questions relate to any assistance being provided. | note |  |  |
| What are affected people and local actors’ preferences and priorities when it comes to the type and modality of assistance that should be provided in their area, if any? | Humanitarian Assistance | % of households self-reporting to be humanitarian assistance recipients, in the past 30 days, per type | Has your household received any humanitarian assistance in the past 30 days? If yes, what type?  | select\_multiple  | Did not receive humanitarian assistanceYes, In-kind (food)Yes, In-kind (NFIs)Yes, Physical cashYes, Cash via bank transferYes, Cash via prepaid cardsYes, Cash via mobile moneyYes, VouchersYes, Services (e.g. healthcare, education, etc.)Yes, OtherDon’t know or don't want to answer | Household level |
|  | % of households who did not know how to access humanitarian assistance | Do you or any member of your household know how to access humanitarian assistance (e.g. where to go and who to contact?) if you were to need it?  | select\_one | Yes/No | Household level |
| % of households with awareness of response and feedback mechanisms | Is your household aware of any method/mechanism to contact aid providers about community needs, asssitance received, problems with humanitarian assistance receieved, or bad behavior/misconduct of aid workers etc.?  | select\_one | Yes/No | Household level |
| % of households with awareness of response and feedback mechanisms, per response and feedback mechanism | If yes, which mechanisms are you aware of? | select\_multiple  | Specific organisation contact numbersGovernment contact numbersLocal aid organisations offices/facilities to visitLocal government offices/facilities to visitComplaints/suggestions boxFeedback complaint committeesHelpdeskCommunity focal pointsOther | Household level |
| Information types needed, % households per information type | What type of information would your household like to receive from aid providers? Please specify your top 3 priorities. | select\_multiple | NoneFood, local crop and/or livestock prices How to request assistanceInformation on food assistanceInformation on education services Information on shelter services (temporary housing, home repair)Information on health servicesInformation on nutrition servicesInformation on WASH services (drinking water, soap, hygiene)Information on protection serviceHow to communicate feedback or complaints regarding humanitarian assistance or aid providersInformation on how to report protection related issuesOther | household level |
| % of female respondents, per most accessible means of receiving information regarding humanitarian assitance | {if respondent is female member of male-headed household} What means (channel) of receiving information regarding humanitarian assistance are most available and accessible to you? | select\_multiple | Face to faceCommunity groupTelevisionSocial mediaPhoneRadioPrint material (newspaper, leaflet)LoudspeakerCommunity committeeHelp desk, focal point NoneOther | Individual level |
| % of households, by self-identified priority needs | What are the 3 priority needs of your household? | select\_multiple  | Seeds or other agricultural inputs Shelter or housingFoodHealthcareLivelihoods support or employmentWater for drinking or hygiene/other purposesHygiene NFIs (e.g. soap) and sanitation services (e.g. latrines)/protective gear (masks, gloves)Need to repay debtPyschosocial supportEducation for children under 18 Access to energy (electricity source)NoneOther | Household level |
| % of households, by preferred method of receiving humanitarian assistance | For households that have a need, what would be the preferred method for receiving humanitarian assistance? | select\_one prefer\_need\_assistance | Do not want to receive humanitarian assistanceIn-kind (food)In-kind (NFIs)Physical cashCash via bank transferCash via prepaid cardsCash via mobile moneyVouchersHybrid : Mix of in kind and cashServices (e.g. healthcare, education, etc.)OtherDon’t know or don't want to answer | Household level |
|   |   |   | Perceptions |   |   |   |
| How do people affected by the crisis perceive the ongoing response by humanitarian / resilience & recovery actors and what recommendations to they have for improvements? |  | % of HHs satisfied with aid workers' behaviour in the area | Are you and other members of your household satisfied with the way aid workers generally behave in your area? | Select one | YesNo | Household level |
| [Of those who were dissatisfied with aid workers’ behavior] Most commonly reported reasons for dissatisfaction with the behavior of aid workers | If not satisfied, why not? | Select multiple/ Text entry |  | Household level |
| % of households that consider that assistance is going to the households that need it the most in their area | Do you feel like the assistance available in your area is going to the households that need it the most? | Select one | YesNoDon’t know | Household level |
|  | % of households who feel like they are able to have an influence over decision making made by humanitarian actors regarding the type and modality of assistance that they provide. | Do you feel like you are able to have an influence over decision making made by humanitarian actors regarding the type and modality of assistance that they provide. | Select\_one | YesNoDon’t know | Household level |
|  | % of households by things that are going well with the assistance being provided in their area | What is going well with the aid that is being distributed in your area over the past 6 months | Text | Na | Household level |
|  | % of households by things that are not going well with the assistance being provided in their area | What is not going well with the aid that is being distributed in your area over the past 6 months | Text | Na | Household level |
|   |   |   |   |   |   |   |
|  |  |  | Thank you for taking the time to answer this survey. |  |  |  |

**Semi-structured survey :**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Research Questions** | **SUBQ#** | **Sub-research question** | **Questionnaire Questions** | **Probes** | **Data collection Method** | **Key disaggregation (group types)** |
| 1.How do affected people and local actors perceive the ongoing crisis and its impact on households, as well as the community level capabilities and resources that should be leveraged to respond? | **1.1** | What are the most pressing needs facing Sri Lankan households? | What are the main problems faced by people in your community?  | What are the main needs of people in your community?*[Examples include: loss of livelihood, lack of money to buy sufficient food, shortages of basic medicines or other basic commodities ]*How long have these been needs in your community? Have these needs changed in the last six months? * If so, how? *[Increased or decreased]*

What are the main reasons for these changes? How do people address these needs? (community-based mechanisms, humanitarian assistance, service provision by local authorities) * How essential is humanitarian assistance to meeting these needs?
 | KII  | MenWomenPersons with disabilitiesEldersYouths |
| **1.2** | Which categories of households and geographical areas have been the most impacted by the economic crisis? | Which categories of households and geographical areas have been the most impacted by the economic crisis? | Could you provide examples of people who have been particularly affected by the economic crisis?What are some of the coping strategies that people have adopted to try to cope with the impact of the economic crisis?In the district, which geographical areas have been more affected by the crisis? | KII |  |
| **1.3** | How is this community responding to these needs and what existing capabilities are available at the local level to respond? | How is this community responding to these needs and what existing capabilities are available at the local level to respond? | What are some of the community level initiatives that have been put in place in your area to respond to emergency needs associated with the economic crisis?In your view, how can humanitarian and development actors (such as NGOs, Agencies) best support these initiatives? |  |  |
| 2. What are affected people and local actors’ preferences and priorities when it comes to the type and modality of assistance that should be provided in their area, if any? |  **2.1** | What do people affected by the crisis consider that humanitarian / resilience & recovery actors should prioritize in terms of programming? | Have some or all people from your community received humanitarian assistance in the past six months? | **If yes**, * What types of assistance did people receive? *[This includes tangible assistance such as food distributions and intangible services (women and girl friendly places, child friendly spaces)]*
* Did the aid provided help people cover their most important/basic needs and improve their living conditions?
	+ **If no**, why did it not meet their needs? What needs weren’t covered?
	+ How does this differ between different population groups? *(Probe for displacement status, gender, age, ability)*

**If no,*** Have people from your community received assistance from other actors than humanitarian actors (government, local leaders)?
* Have people in the community tried to access assistance but were not able to?
	+ If yes, how would you describe the barriers [e.g. registration issues, targeting, distance to distribution points] that prevented people from your community to access humanitarian assistance?
 | KII  | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **2.2** | What do people affected by the crisis consider that humanitarian / resilience & recovery actors should prioritize in terms of programming? | If you could decide what assistance is provided in your community by NGOs, UN Agencies and other humanitarian / development actors, what would you prioritize? | Do you think that these actors should be involved at all in your community?Should they prioritize long term or short term assistance? What are the priority sectors that would need the support of these actors? (e.g. health, hygiene and sanitation, agriculture, food security, protection, etc.) | KII | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **2.3** | What do people affected by the crisis prefer in terms of assistance modality and for what reasons? | What do people affected by the crisis prefer in terms of assistance modality and for what reasons? | In your view, what are some of the pros and cons of cash-based assistance?In your view, what are some of the pros and cons of in-kind delivery?Have you heard of households in your community facing specific issues with cash assistance? Including technical issues, problems due to lack of bank account or documentation, or delays to receive the transfers.Have you heard of households in your community facing specific issues with in-kind assistance delivery? | KII |  |
| **How do people affected by the crisis perceive the ongoing response by humanitarian / resilience & recovery actors and what recommendations to they have for improvements?**1.b What is the perceived impact of humanitarian aid on conflict and peace dynamics? | **3.1** | How do affected people and local actors perceive the ongoing response in terms of the relevance and appropriateness of programming as well as targeting approaches  | Are there any differences in how different groups or communities access assistance? Please describe? | * Do people think humanitarian assistance goes to the most in need in the settlement?
* **If no,** who do people think are left out? *(probe for displacement status, gender, age, disability, other vulnerable people)*
	+ Why do people generally think these groups are left out? What are the main barriers to their access to assistance?
	+ How does this, if at all, affect relations within the settlement? If in a negative way, between whom and why? *(e.g. between/within communities, with aid workers or community leaders)*
 | KII | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **3.2** | How do affected people and local actors perceive the ongoing response in terms of the relevance and appropriateness of programming as well as targeting approaches | Has humanitarian assistance or the lack thereof ever caused tensions in your settlement/area? | ***If yes,*** how and why?* Which were the affected groups?
* What could be done to prevent the occurrence of tensions in the future?
 | KII  | MenWomenPersons with disabilitiesEldersYouths |
|  **3.2** | How do affected people and local actors perceive the ongoing response in terms of their ability to engage with response actors and participate in decision making? | How do people from your community [in your settlement access information about the assistance available to them? | * What types of information are people seeking? *(e.g. information regarding criteria for targeting, changes to assistance, when and where assistance will be provided)*
* Do people in your community face challenges in obtaining adequate and sufficient information about assistance?

**If yes**:* + - Why are people not getting enough information?
* Are there some groups that are more affected? Why?

*(Probe for challenges specific to women, girls, people living with a disability, people who are not literate)** What type of information are they not receiving?
* How is information about assistance provided/disseminated? By whom? *[Could be through formal mechanisms such as local authorities or informal mechanisms such as word-of-mouth or the radio.]*
* How do you think humanitarian actors can improve in information provision about assistance?
	+ What type of information should be provided better?
	+ What are the most useful channels for information provision?
		- What specific channels would be more appropriate for vulnerable sub- groups (women, elderly persons, people with disabilities)?
 |  KII | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **3.3** | How do affected people and local actors perceive the ongoing response in terms of their ability to engage with response actors and participate in decision making? | How do people in your community communicate their needs and preferences about assistance with aid actors? *(in relation to targeting, assistance received, aid modalities etc.)* | Are people aware of any consultations by humanitarian actors in your community?**If yes:*** What type of consultations take place? *(e.g. discussions to get communities’ feedback on needs and assistance, or one-way presentations/communication by aid agencies)*
* Which are the groups/individuals from your community who are usually consulted?
	+ Which groups are left out? Why?
* Are they trusted to represent the views of all groups of the community? *(Probe for age, gender, ability and other vulnerabilities).*
	+ *If not, why?*
* Do people generally think these consultations make a difference or lead to change (in type of assistance, assistance modalities etc.)?
	+ If yes, how would you describe this change?

How do people think humanitarian actors can improve in terms of consultations with communities regarding assistance? What are the main topics they should discuss with communities? *(targeting criteria, type of assistance, registration, etc.)*  | KII  | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **3.4** | How do affected people and local actors perceive the ongoing response in terms of their ability to engage with response actors and participate in decision making? | What, if anything, do people in your community do when they are unhappy about humanitarian assistance or have issues with aid actors? *(e.g. unhappy about targetting of aid, about the way aid is being distributed, quality or timeliness of assistance, the conduct of aid workers)* | Are people in your community aware of complaints and feedback mechanisms (CFMs) being operated by humanitarian partners?**If yes,*** Please describe these mechanisms.
* Are these mechanisms easily accessible to community members?
	+ Do some groups *(displacement status, age, gender, ability)* face additional barriers to access these mechanisms?
* Do people in the community use these mechanisms?
	+ If not, why?
	+ If yes, do people in the community receive responses to their feedback?
* Do people in the community generally trust these mechanisms to address issues faced by the community and related to provision of assistance? *(e.g. on quality/adequacy of assistance, behaviour of aid workers etc.)*
* Do people trust the current mechanisms enough to report sensitive issues or problems?
	+ What are/would be the most preferred channel for people to report such cases?

*[Complaints and feedback mechanisms may be set-up by humanitarian agencies so community members can provide feedback or complaint about the way assistance is provided)* | KII | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |
| **1.7** | How does humanitarian service delivery impact relations between communities in the settlement/area? | Has humanitarian assistance or the lack thereof ever caused tensions in your settlement/area? | ***If yes,*** how and why?* Which were the affected groups?

What could be done to prevent the occurrence of tensions in the future? | KII  | MenWomenPersons with disabilitiesEldersYouthsVarious livelihood groups |

# Monitoring & Evaluation Plan*.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **IMPACT Objective** | **External M&E Indicator** | **Internal M&E Indicator** | **Focal point** | **Tool** | **Will indicator be tracked?** |
| **Humanitarian stakeholders are accessing IMPACT products** | Number of humanitarian organisations accessing IMPACT services/productsNumber of individuals accessing IMPACT services/products | # of downloads of x product from Resource Center | Country request to HQ | User\_log | **X Yes –** |
| # of downloads of x product from Relief Web | Country request to HQ | X Yes  |
| # of downloads of x product from Country level platforms | Country team | X Yes  |
| # of page clicks on x product from REACH global newsletter | Country request to HQ | X Yes  |
| # of page clicks on x product from country newsletter, sendingBlue, bit.ly | Country team | X Yes  |
| # of visits to x webmap/x dashboard | Country request to HQ |  □ Yes  |
| **IMPACT activities contribute to better program implementation and coordination of the humanitarian response** | Number of humanitarian organisations utilizing IMPACT services/products | # references in HPC documents (HNO, SRP, Flash appeals, Cluster/sector strategies) | Country team | Reference\_log | *Unclear at this stage which strategy documents will be issued following this assessment* |
| # references in single agency documents | X Yes  |
| **Humanitarian stakeholders are using IMPACT products** | Humanitarian actors use IMPACT evidence/products as a basis for decision making, aid planning and deliveryNumber of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products  | Perceived relevance of IMPACT country-programs | Country team | Usage\_Feedback *and* Usage\_Survey template | *Direct feedback from partners and coordination during dissemination and presentations* |
| Perceived usefulness and influence of IMPACT outputs |  |
| Recommendations to strengthen IMPACT programs |
| Perceived capacity of IMPACT staff |  |
| Perceived quality of outputs/programs |
| Recommendations to strengthen IMPACT programs |
| **Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle**  | Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs *(providing resources, participating to presentations, etc.)* | # of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation | Country team | Engagement\_log | **X Yes**  |
| # of organisations/clusters inputting in research design and joint analysis | **X Yes**  |
| # of organisations/clusters attending briefings on findings; | **X Yes**  |

#### Annex 1: Methodology Notes (if relevant)

NA

#### Annex 2: [Other Specify]

NA

1. https://reliefweb.int/report/sri-lanka/sri-lanka-food-security-crisis-humanitarian-needs-and-priorities-2022-june-sept-2022-ensita [↑](#footnote-ref-1)
2. International Federation of the Red Cross (IFRC). Sri Lanka Complex Emergency. Needs Assessment Report. October 2022, WFP. Food Security Monitoring. September 2022, ACTED, CEPA, World Vision. Rapid Food Security Assessment. July 2022, etc. [↑](#footnote-ref-2)
3. The number of interviews to be conducted per category of respondents was identified with a focus on going for categories that are more relevant in each area of interest. For example, fishing communities are more prominent in Batticaloa compared to the other locations. For broad demographic categories that are found everywhere (female headed households, youth, persons with disabilities, pregnant women), interviews were included everywhere. Otherwise, for convenience purposes, the number of interviews to conduct per location was capped to 40 for the qualitative interviews with affected people or representatives, so this criterion further explains the selection of certain categories at the expense of others. [↑](#footnote-ref-3)
4. The number of interviews to be conducted per category of respondents was identified with a focus on going for categories that are more relevant in each area of interest. For example, fishing communities are more prominent in Batticaloa compared to the other locations. For broad demographic categories that are found everywhere (female headed households, youth, persons with disabilities, pregnant women), interviews were included everywhere. Otherwise, for convenience purposes, the number of interviews to conduct per location was capped to 40 for the qualitative interviews with affected people or representatives, so this criterion further explains the selection of certain categories at the expense of others. [↑](#footnote-ref-4)
5. Household Income and Expenditure Survey -2005, Department of Census and Statistics, Sri Lanka. [↑](#footnote-ref-5)